

ATTORNEY DOCKET NO.
11321-P011C1D2

PATENT
10/027,671

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application: Colbert, et al.
Serial No.: 10/027,671
Filed: December 21, 2001
Group Art Unit: 1754
Examiner: Lish, Peter J.
Title: METHOD FOR CUTTING SINGLE-WALL CARBON NANOTUBES

RECEIVED
NOV 24 2003
TC 4700

Mail Stop Initial Patent Processing
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There is an error in that the following is:
incorrectly entered:
a. please correct the correspondence address to read as follows:

XX omitted

Applicant's name

Applicant's address

Title

Filing Date

Serial Number

Foreign/PCT Application Reference

XX Other – not all inventors are identified.

On July 2, 2003 an Amended Declaration and Power of Attorney was filed for this application identifying all ten (10) inventors. To date, a corrected filing receipt has not yet been received. Accordingly, please issue a corrected filing receipt identifying the following ten (10) inventors:

ATTORNEY DOCKET NO.
11321-P011C1D2

PATENT
10/027,671

COLBERT, Daniel T.; Houston, Texas
DAI, Hongjie.; Sunnyvale, California
HAFNER, Jason H.; Houston, Texas
RINZLER, Andrew G.; Newberry, Florida
SMALLEY, Richard E.; Houston, Texas
LIU, Jie, Chapel Hill, North Carolina
SMITH, Kenneth A.; Katy, Texas
GUO, Ting; Davis, California
NIKOLAEV, Pavel; Houston, Texas
THESS, Andreas; Kunsterdingen, Germany

3. (complete the following applicable item A or B)

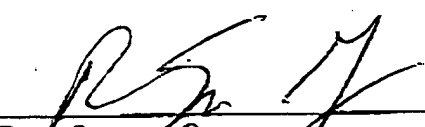
A. XX The correction is not due to any error by applicant and no fee is due. However, should any fee be due by this paper, the Director is hereby authorized to charge any amounts due to Deposit Account Number 23-2426 of Winstead Sechrest & Minick P.C.

B. The correction is due to applicant's error and the fee therefore under 37 CFR 1.19(h) of \$25.00 is paid as follows:

Enclosed is check for \$_____.

Charge Deposit Account _____ \$_____.

Dated: October 22, 2003



Ross Spencer Garsson
Reg. No. 38,150

WINSTEAD SECHREST & MINICK, P.C.
P.O. Box 50784
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Dallas, TX 75250-0784
Tel. No. 512.370.2870

DALLAS_1388072311
11321-P011C1D2 10/15/2003



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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/027,671	12/21/2001	2881	913	11321- P011C102	14	57	9

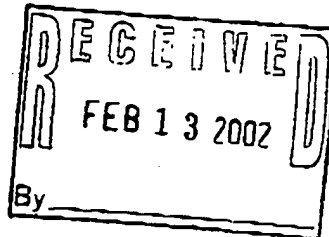
CONFIRMATION NO. 1673

FILING RECEIPT



OC000000007431426

Hugh R. Kress
2400 Bank One Center
910 Travis Street
Houston, TX 77002



Date Mailed: 02/06/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Daniel T. Colbert, Houston, TX;
Hongjie Dai, Sunnyvale, CA;
Jason H. Hafner, Houston, TX;
Andrew G. Rinzler, Houston, TX;
Richard E. Smalley, Houston, TX;

Jie Liu, Chapel Hill, NC;
Kenneth A. Smith, Katy, TX;
Ting Guo, Davis, CA;
Pavel Nikolaev, Houston, TX;
Andreas Thess, Kunsterdingen, DE.

Assignment For Published Patent Application

William Marsh Rice University, Houston, TX;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A DIV OF 10/000,746 11/30/2001
WHICH IS A CON OF 09/242,040 09/13/1999 ABN
WHICH IS A 371 OF PCT/US97/13896 08/08/1997
WHICH CLAIMS BENEFIT OF 60/023,732 08/08/1996

Foreign Applications

If Required, Foreign Filing License Granted 02/06/2002

Projected Publication Date: 05/16/2002

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Method for cutting single-wall carbon nanotubes

Preliminary Class

250

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

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NOT GRANTED

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JCWSCS 12 NOV 2003

PTO/SB/97 (08-00)
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To Facsimile No: 703.308.7751

In re Application of: Colbert, et al.

Serial No: 10/027,671

Filed: December 21, 2001

Group Art Unit: 1475

Examiner: Lish, Peter J.

Title: Method for cutting single-wall carbon nanotubes

Attached: Request for Corrected Filing Receipt - 4 pages

Attorney Docket No 11321-P011C1D2

Burden Hour Statement. This form is estimated to take 0.03 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231

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1754



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APPLICATION NUMBER	FILING OR 371(c) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/027,671	12/21/2001	Daniel T. Colbert	11321-P011C1D2

Hugh R. Kress
 2400 Bank One Center
 910 Travis Street
 Houston, TX 77002

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CONFIRMATION NO. 1673



OC000000011249255

Date Mailed: 11/12/2003

RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT

Claims, Fees, and Inventors

In response to your request for a corrected Filing Receipt, the Office is unable to comply with the request because:

- ☐ The total number of claims appearing on the Filing Receipt does not include multiple dependent claims. The total fee appearing on the Filing Receipt includes the cost of multiple dependent claims that were present at the time the application was filed.
- ☐ The filing fee is correct. It may include additional claims fees and/or the surcharge under 37 CFR 1.16 (e) for filing an oath/declaration or basic filing fee after the application filing date; or it may not reflect fees refunded to the applicant that were paid by mistake.
- ☐ The number of claims reflected on the filing receipt is correct. Upon review of the claims, it was found that there was a miscalculation by the applicant. This may be due to improperly presented multiple dependent claims, typographical error, misnumbering of the claims, or other oversight. An amendment may be necessary to correct the problem.
- ☐ The filing fee reflected on the filing receipt is correct. Applicant may have miscalculated the fees due.
- ☐ Applicant calculated fees as other than small entity; however, applicant asserted small entity status in the application. Therefore, fees were applied as small entity and the remainder was refunded to the applicant.
- ☐ The difference between the fees paid and the fees due was refunded to the applicant and will not be shown on the filing receipt.
- ☐ The inventor information may be truncated if the family name consists of more than 50 characters (letters and spaces combined) and if the given name consists of more than 50 characters (letters and spaces combined).

- ☐ The inventor's residence allows for up to 40 characters (letters and spaces combined).
- ☐ The inventor's residence will only include the city and state for U.S. residences or city and country for residences outside the U.S. (See MPEP 605.02).
- ☒ A petition to correct the inventorship is needed to make this change. See 37 CFR 1.48. For non-provisional applications, the petition should be directed to the Director of the examining group assigned to your application.
- ☐ Changes made after submission of an executed declaration to the inventor information other than correction of typographical errors must be submitted in the form of a substitute declaration. Change of inventorship requires a petition under 37 CFR 1.48.
- ☐ The number of drawings shown on the filing receipt reflects the number of drawing sheets submitted and is not necessarily equal to the number of figures submitted.
- ☐ The correspondence address was captured as directed by applicant on filing. If you wish correspondence to be directed otherwise, please submit a request for a change of address.
- ☐ The docket number allows a maximum of 25 characters.
- ☐ The person signing on behalf of the deceased inventor is reflected on the Filing Receipt as the legal representative.
- ☐ The filing date of a parent application cannot be changed by this request. A petition to correct the filing date in the parent application is required.

Harmanot Tegbaru

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY